

Expert Disclosure – Carmen A. Taveras, Ph.D.

(December 8, 2023)

Dr. Carmen Taveras is an Assistant Director in the Division of Economic and Risk Analysis (DERA) at the U.S. Securities and Exchange Commission (SEC) with expertise in the economic and quantitative analysis of securities markets and trading.

A. Qualifications and Prior Testimony

Dr. Taveras received a bachelor's degree in Economics in 2002 and a postgraduate diploma in macroeconomics in 2004 from Pontificia Universidad Católica. She graduated with a Ph.D. in Economics from the Massachusetts Institute of Technology in 2010.

Since 2020, Dr. Taveras has served as an Assistant Director at DERA within the SEC. Dr. Taveras joined the SEC in 2014 and worked as a Financial Economist until becoming an Assistant Director. Prior to joining the SEC, Dr. Taveras spent four years at the Securities Litigation and Consulting Group, Inc.

Dr. Taveras's *curriculum vitae*, which lists all of Dr. Taveras's published writings, is attached hereto as Appendix A.

Dr. Taveras has testified in depositions, hearings and at trial. A list of all cases in the last four years in which she has testified as an expert is listed in her *curriculum vitae*.

Dr. Taveras has not been retained by the Government and will testify in her capacity as an employee of the SEC. Accordingly, the government has no retainer agreement with Dr. Taveras.

B. Data Sources

Dr. Taveras's data sources are set forth in Appendix B. For ease of reference, certain sets of data are referred to throughout this disclosure as follows:

- “Archegos Order and Execution Records” refers to Archegos's trade blotter, Archegos's daily combo sheets, and the Archegos order information captured by EMSX, the Bloomberg order execution management system used by Archegos.
- “Archegos Trading IB Records” refers to the set of recurring Instant Bloomberg messages between Bill Hwang, William Tomita, Daiki Taniguchi, and Peter DeSanto.
- “NYSE Daily TAQ Data” refers to the trade-and-quote data set made available by NYSE.
- “Weekly Ownership Test Reports” refers to the internal spreadsheets and emails prepared by Archegos that monitored, among other things, Archegos's percentage of shares outstanding.

- “Capacity Notes” refers to the internal documents prepared by Archegos that monitored, among other things, Archegos’s capacity and margin rates at its counterparties.

In addition to the materials identified in Appendix B and the studies, analyses, and data described below in Section C, Dr. Taveras’s observations and opinions are further based on her educational background and professional experience.

C. Anticipated Opinions

The Government anticipates that, if called as a witness, Dr. Taveras will provide summary statistics regarding Archegos’s portfolio, Archegos’s orders and linked trades, and the market consequences of Archegos’s orders and trading activities. More specifically, the Government anticipates that Dr. Taveras may offer the following testimony and opinions:

1. Dr. Taveras’s testimony may include background terms and concepts, such as:
 - a. A “listed public company” is a company that has issued stock that is traded on a stock exchange.
 - b. A “security” is, among other things, any note, stock, bond, debenture, evidence of indebtedness, investment contract, or participation in any profit-sharing agreement.
 - c. A “stock” or “equity” is a specific type of investment signifying ownership in a corporation, and represents a claim on the corporation’s assets and earnings. Stock is measured in shares, which investors can buy and sell. “Outstanding shares” generally refers to the number of shares of stock held by all of the company’s shareholders. “Float” generally refers to the portion of a company’s outstanding shares of stock that are available for investors to trade.
 - d. A “swap” is a derivative contract through which two parties exchange financial instruments. One type of swap is a “total return swap,” which is a swap agreement in which one party makes payments based on a set rate while the other party makes payments based on the return of an underlying asset. A total return swap enables a party to receive the economic benefit of a reference asset without owning it. A “bullet swap” is a form of swap that settles at full maturity, usually in the form of a single net payment.
 - e. The International Swaps and Derivatives Association (“ISDA”) is a financial industry association made up of market participants and market infrastructure firms that seeks to foster safe and efficient derivatives markets to facilitate effective risk management for all users of derivative products. Among other things, ISDA develops and distributes standardized documentation for use by industry participants seeking to engage in derivatives transactions. Parties to derivatives transactions may negotiate and customize the terms of their transaction, including as to price and settlement.

- f. An “ADR” or an American Depositary Receipt is a certificate representing shares of a foreign security. ADR may be listed on a national securities exchange in the United States. ADRs enable indirect ownership of foreign securities that are not traded directly on a national exchange in the United States.
- g. A “broker” is any person who facilitates stock transactions for the accounts of others. A “brokerage firm” is an entity that brings together buyers and sellers to facilitate a stock transaction.
- h. A “long” position is an investment position that appreciates in value as the underlying securities appreciate in value. A “short” position is an investment position that appreciates in value as the underlying securities decrease in value.
- i. “Short selling” is a type of trade wherein an investor borrows a security, sells it on the open market, and hopes to buy it back later at a lower price. “Short selling” is typically profitable when the price of the security declines after it has been borrowed and sold.
- j. A “prime broker” is a financial institution that offers a bundle of financial services to sophisticated investors. Services may include securities brokering, margin lending, and cash management.
- k. A “margin account” is a type of brokerage account in which a broker-dealer lends its customer cash to purchase securities, and the customer offers the investments in the account as collateral. To buy “on margin” means to use the money borrowed from a broker to purchase a security. A “margin call” is a demand from the broker that the customer add money to the account.
- l. The New York Stock Exchange (“NYSE”) and NASDAQ are stock exchanges where stocks are traded, bought, and sold. Shares on the NYSE and NASDAQ trade through brokerage firms that execute buy and sell transactions on behalf of clients who have accounts with their firms. NYSE, NASDAQ, and other American exchanges capture electronic data regarding securities transactions and offers to buy and sell securities.
- m. A “dark pool” is an alternative trading system in which only certain investors are permitted to trade and in which trades are facilitated anonymously.
- n. A “hedge fund” is an institutional investor that manages a pool of investor money in an effort to make a positive return.
- o. The phrase “family office” refers to an investment company that is owned by and manages the investments of a single family as opposed to the investments of multiple private investors.
- p. A “short squeeze” is a situation in which a lack of supply and an excess of demand for a traded stock forces the price upward. During a short squeeze, those with short

positions may be forced to liquidate and cover their positions by purchasing existing stock, which could drive the price even higher.

- q. An exchange traded fund (“ETF”) is a type of investment fund that trades on exchanges. ETFs own financial assets, such as stocks, bonds, currencies, debts, futures contracts, and commodities.
 - r. A “seasoned equity offering” is an additional issuance of stock by a public company.
 - s. “Non-marketable limit orders” are standing orders to purchase or (sell) shares at a maximum (or minimum) stock price, also known as a limit price.
 - t. A “bid” is an offer to buy a security at a given price and size.
 - u. An “ask” is an offer to sell a security at a given price and size.
 - v. A “bid-ask spread” is the amount by which the best offer price exceeds the best bid price for a security.
2. Dr. Taveras will explain how national exchanges, such as NASDAQ and NYSE, function, what trade and order information is captured by the marketplace, what information is broadcast to market participants, and how securities transactions occur within them.
 3. Dr. Taveras will provide summary statistics and graphical representations reflecting the price and trade volume for equities traded under the ticker symbols VIAC, DISCA, DISCK, GSX,¹ IQ, TME, VIPS, BIDU, FTCH, and TCBI (the “Archegos Top Long Positions”) and FUTU² and RKT (the “Archegos Top Short Positions”) (the “Archegos Top Long Positions” and the “Archegos Top Short Positions” are collectively the “Top Archegos Securities”) during 2020 and 2021 and at various points and intervals within 2020 and 2021.
 4. Dr. Taveras will use the Archegos Order and Execution Records and Weekly Ownership Test Reports to provide summary statistics and graphical representations of Archegos’s portfolio and market activities between January 2019 and March 2021. This summary presentation will include the following:
 - A. Dr. Taveras will show that Archegos would establish its investments in the Top Archegos Securities in cash equities, until it approached 5% ownership of outstanding shares of a particular security, at which point Archegos would gain additional exposure to the security through swaps. Dr. Taveras will show that Archegos’s market risk of the positions held on swap increased over time.

¹ “GSX” is now listed under the symbol “GOTU.”

² “FUTU” was previously listed under the symbol “FHL.”

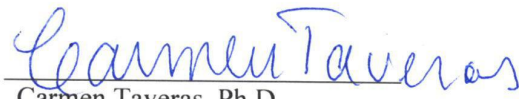
- B. Dr. Taveras will present a comparison of Archegos's total exposure to the securities of an issuer and compare that to the issuer's shares outstanding (or ADR equivalent).
- C. Dr. Taveras will present summary data regarding the shares outstanding of the issuers of the securities underlying the Archegos Top Positions.
- D. Dr. Taveras will show that as Archegos increased its exposure through swaps to the Top Archegos Securities, the market price of the Archegos Top Long Positions increased. Dr. Taveras will further show that, beginning in or around November 2020, the performance of the Archegos Top Long Positions generally exceeded the relevant market and industry ETFs.
- E. Dr. Taveras will show that Archegos's positions in the Top Archegos Securities grew over time predominately through swap contracts. Dr. Taveras will calculate Archegos's position both in terms of the number of shares held and the value of Archegos's holdings.
- F. Dr. Taveras will show that Archegos's long portfolio became increasingly concentrated in the Top Long Positions. Dr. Taveras will show that, over time, the Top Long Archegos Securities accounted for roughly 90% of Archegos's total long portfolio. Dr. Taveras will further show that Archegos's long and short portfolio became increasingly concentrated in the Top Archegos Securities as well.
- G. Dr. Taveras will compare the size and value of Archegos's long portfolio holdings over time, showing that the stocks that comprised the largest percentage of Archegos's long holdings in or around January 2019 were replaced by the Top Long Archegos Securities by March 2021.
- H. Dr. Taveras will calculate Archegos's maximum daily holdings of the Top Archegos Securities.
- I. Dr. Taveras will show that, by March 2021, the portfolio value of Archegos's long positions had grown to more than \$100 billion dollars, a significant portion of which was comprised of the Archegos Top Long Positions.
- J. Dr. Taveras will calculate the percentage of total days that Archegos traded in the Top Archegos Securities, and present a graphical analysis of the same.
- K. Dr. Taveras will calculate Archegos's total trading in the Top Archegos Securities between March 19, 2021 and March 25, 2021.

- L. Dr. Taveras will show that, with few exceptions, Archegos began engaging in pre-market trading in the Top Archegos Securities in or around January 2021.
5. Dr. Taveras will opine that Archegos's trade orders in swaps in the Top Archegos Securities can be associated with equity transactions in the National Market System—including NYSE, NASDAQ, and dark pools—by matching price, quantity, and time from the Archegos Order and Execution Records to the NYSE Daily TAQ Data.
 6. Dr. Taveras will use the Archegos Order and Execution Records, NYSE Daily TAQ Data and Archegos Trading IB Records to show that, with respect to the Archegos Top Positions, as Archegos set limit prices for the Archegos Top Positions, the prevailing market prices for the Archegos Top Positions quickly followed the limit prices set by Archegos, in the end-of-day trading period, on multiple days between July 2020 and March 2021. Dr. Taveras will opine that the pattern of a limit price followed by a rise in market price to meet it across multiple observations and multiple tickers is highly unusual, indicative of market influence.
 7. Dr. Taveras will use the Archegos Order and Execution Records, NYSE Daily TAQ Data and Archegos Trading IB Records to show that, with respect to the Archegos Top Positions, as Archegos set limit prices for the Archegos Top Positions, the prevailing market prices for the Archegos Top Positions quickly followed the limit prices set by Archegos, in the pre-market trading period, on multiple days between January 2021 and March 2021. Dr. Taveras will opine that the pattern of a limit price followed by a rise in market price to meet it across multiple observations and multiple tickers is highly unusual, indicative of market influence.
 8. Dr. Taveras will use the Archegos Order and Execution Records and Capacity Notes to opine that Archegos generally would build positions in the Archegos Top Positions at a particular counterparty and then pivot to another counterparty to continue building its position in the Archegos Top Positions. Dr. Taveras will opine that this trend continued over time and culminated with Archegos having positions at nearly a dozen counterparties in certain of the Archegos Top Positions.

9. Dr. Taveras will present a comparative analysis of Archegos's holdings, market prices, analyst reports, news articles, press releases, and SEC filings³ on the Archegos Top Long Positions from 2020 to April 2021. Dr. Taveras will show that when Archegos's holdings increased, the market prices for the Archegos Top Long Positions increased as well. Dr. Taveras will show that when Archegos went into liquidation in the end of March 2021, the prices of Archegos Top Long Positions fell. Dr. Taveras will further show that the stock prices of the Archegos Top Long Positions did not recover to their March 2021 levels within a month of the Archegos liquidation.
10. Dr. Taveras will opine that academic research⁴ has found that share prices typically fall when a company announces a seasoned equity offering as Viacom did in March 2021. Dr. Taveras will further opine, based on academic research and a review of analyst reports, on some of the reasons why companies may choose to have a seasoned equity offering, including a belief that their share price is overvalued. Dr. Taveras will use the Archegos Order and Execution Records, NYSE Daily TAQ Data, press releases, and the SEC filings for VIAC to present a graphical analysis of the movements in VIAC prices and Archegos's trading around the time of the Viacom seasoned equity offering.

D. Approval and Signature

I hereby approve the disclosure of my qualifications, anticipated opinions, and basis for such opinions, as set forth above.


Carmen Taveras, Ph.D.

³ The analyst reports, news articles, press releases, and SEC filings on which Dr. Taveras relied are included in Appendix B.

⁴ See, for example, Eckbo, B. Espen, et al., "Security Offerings" *Handbook on Corporate Finance: Empirical Corporate Finance* (2007); 233-373.

Carmen A. Taveras, Ph.D.

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Summary

Dr. Carmen Taveras is an Assistant Director in the Office of Litigation Economics (OLE) at the U.S. Securities and Exchange Commission (SEC). She applies economic theory, analytical techniques, and statistical methods to assist the Commission in the investigation of potential securities law violations. She supervises a staff of financial economists that also apply economic analysis to SEC Enforcement matters.

Prior to joining the SEC, she worked in private sector economic consulting. Dr. Taveras earned a Ph.D. in Economics from the Massachusetts Institute of Technology where she taught graduate and undergraduate students.

Education

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| Massachusetts Institute of Technology | Cambridge, MA |
| Ph.D. in Economics | September 2010 |
| Pontificia Universidad Católica | Santiago, Chile |
| Postgraduate Diploma in Macroeconomics, Highest Honor | July 2004 |
| Pontificia Universidad Católica Madre y Maestra | Santo Domingo, Dominican Republic |
| BA in Economics, Highest Honor | June 2002 |

Professional Experience

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|--|-----------------------------|
| U.S. Securities and Exchange Commission (SEC) | Washington, DC |
| Division of Economic and Risk Analysis (DERA), Office of Litigation Economics (OLE) | April 2020-Present |
| <i>Assistant Director</i> | July 2014-April 2020 |
| <i>Financial Economist</i> | |

Dr. Taveras conducts economic analysis and provides expert testimony in the context of SEC Enforcement matters. Her experience includes:

- Calculating profitability of trading in equities, options, funds, and complex financial instruments.
- Identifying evidence of liability.
- Calculating ill-gotten gains from insider trading and other fraudulent trading practices.
- Economic analysis of crypto asset securities.
- Assessing the materiality of company disclosures of accounting fraud and calculating corporate benefit and executives' disgorgement.
- Detecting patterns of market manipulation like spoofing and layering.
- Analyzing large-scale data to determine a trading firm's controls against abusive trading practices.
- Detecting patterns of preferential trade allocation by investment advisors.
- Valuing mutual funds and exchange-traded funds that mislead investors about performance.

Securities Litigation and Consulting Group, Inc.

Principal

Fairfax, VA

August 2010-June 2014

- Led project teams conducting analyses in securities class actions, brokerage industry disputes, and regulatory investigations.
- Prepared expert reports and responded to expert testimony in securities litigation and settlement negotiations.
- Prepared reports in consulting engagements for securities regulators and industry groups.
- Provided valuation for mergers and privately held businesses.
- Prepared technical materials and presentations for business development.

Massachusetts Institute of Technology

Teaching Assistant

Cambridge, MA

September 2006-May 2010

Taught graduate and undergraduate courses in Macroeconomics, Introductory Economics, and Research and Communications in Economics. Guided undergraduate students in the design and implementation of economic analyses in their research papers.

Research Assistant

June 2005-August 2005

International Monetary Fund

Summer Research Assistant

Washington, DC

June 2006-August 2006

Ministry of Finance and Economics

Research Assistant to Chief Economic Advisors

Santo Domingo, Dominican Republic

June 2001-June 2002

Expert and Summary Witness Experience

- Provided summary witness testimony at a deposition on a failure to register case. SEC v John D. Fierro and JDF Capital, Inc., No. 3:20cv02104, U.S. District Court for the District of New Jersey, October 2021 and January 2022.
- Provided rebuttal witness testimony and summary witness testimony at two depositions on a failure to register case. SEC v Justin W. Keener d/b/a JMJ Financial, No. 1:20cv21254, U.S. District Court for the Southern District of Florida, several filings from July 2021 to August 2022.
- Filed an expert report on a digital asset case. SEC v Telegram Group Inc. et al. No: 1:19cv9439, U.S. District Court for the Southern District of New York, December 2019.
- Provided expert witness testimony at two hearings and filed three reports on a front-running case. In the Matter of Christopher M. Gibson, No: 3-17184, SEC Administrative Proceeding, July 2019 and September 2016.
- Provided summary witness testimony at trial on an insider trading case. USA v. David Blaszczyk, No: 1:17cr357, U.S. District Court for the Southern District of New York, April 2018.
- Provided expert witness testimony at trial, summary witness testimony at trial, and filed two rebuttal reports on an insider trading case. SEC v. Sasan Sabrdaran et al. No: 3:14cv4825, U.S. District Court for the Northern District of California San Francisco Division, November 2016.
- Provided expert witness testimony at a deposition and filed a rebuttal expert report evaluating the defense expert's statistical analysis on an insider trading case. SEC v. James V. Mazzo et al. No: 8:12cv1327, U.S. District Court Central District of California Southern Division, June 2015.

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- Filed a summary witness declaration on a Ponzi scheme case. SEC v. Kristine L. Johnson et al. No: 1:15cv299, U.S. District Court for the District of Colorado, February 2015.
- Filed a summary witness declaration on a case on improper disclosure of option exercises. SEC v. Samuel E. Wyly et al. No: 1:10cv5760, U.S. District Court for the Southern District of New York, November 2014.
- Provided expert witness testimony at a hearing on a brokerage industry dispute related to asset allocation of annuity investments. Gerald and Barbara Galowitz v. Ameriprise Financial Services, Inc. No: 12-01089, FINRA arbitration, May 2013.

Research

- “Large Sample Valuation of Tenancies in Common” with Tim Husson, Craig McCann, and Edward O’Neal, 2014, Journal of Real Estate Portfolio Management, Vol. 20, No. 2, pp. 147-161.
- “Private Placement Real Estate Valuation” with Tim Husson, Craig McCann, and Edward O’Neal, 2014, Journal of Business Valuation and Economic Loss Analysis, Vol. 9, Issue 1, pp. 87-104.
- “What is a TIC Worth?” with Tim Husson, Craig McCann, and Edward O’Neal, 2012, PIABA Bar Journal, Vol. 19. No. 3, pp. 373-392.
- “A Primer on Non-Traded REITs and Other Alternative Real Estate Investments” with Tim Husson and Craig McCann, 2012.
- “Rethinking the Comparable Companies Valuation Method” with Paul Godek, Craig McCann, and Dan Simundza, 2011.
- “A Monograph on Auction Rate Securities” with Jenny Li and Craig McCann, written for the Securities Division of the North Carolina Secretary of State, 2011.
- “An Economic Study of Securities Market Data Pricing by Canadian Trading Venues” with Craig McCann, written for the Investment Industry Association of Canada, 2011.
- “Essays on Entrepreneurship,” MIT dissertation, 2010.

Awards and Fellowships

- SEC, Division of Enforcement’s Director’s Award 2018
- Department of Justice, U.S. Attorney’s Office Southern District of New York Award 2018
- Graduate Student Fellowship – Massachusetts Institute of Technology 2004-2010
- Inter-American Development Bank Fellowship – Pontificia Universidad Católica 2002-2004
- Fundapex Fellowship – Pontificia Universidad Católica Madre y Maestra 1998-2002
- Dominican Republic, National Youth Award 1997

Software Skills and Financial Data

- Proficient in Stata and Matlab.
- Skilled user of financial data sources, including Bloomberg, Wharton Research Data Services, Thompson One, and Blue Sheets.

Languages

- English (fluent), Spanish (native), and French (intermediate).

APPENDIX B

Published Papers

Eckbo, B. Espen, et al., “Security Offerings” *Handbook on Corporate Finance: Empirical Corporate Finance* (2007); 233-373 (Chapter 6)

Analyst Reports, Press Releases and News Articles⁵

20201117 Baidu Macquarie Research
 20201215 Baidu Bloomberg
 20201215 Baidu Bloomberg
 20210108 Baidu Reuters
 20210108 Baidu
 20210218 Baidu Morningstar
 20201105 Discovery Macquarie Research
 20210222 Discovery Evercore ISI
 20210222 Discovery Macquarie Research
 20210323 Discovery UBS
 20210326 Discovery Wells Fargo
 20201102 FTCH Bloomberg
 20201102 FTCH BTIG
 20201106 FTCH Wells Fargo
 20201112 FTCH Wells Fargo
 20201112 FTCH BTIG
 20210225 FTCH Wells Fargo
 20201120 GSX JPMorgan
 20201126 GSX China Merchants Securities
 20210119 GSX CLSA
 20210129 GSX China Merchants Securities
 20210305 GSX JPMorgan
 20210308 GSX Credit Suisse
 20210308 GSX CLSA
 20210326 GSX Bloomberg
 20201116 IQ JPMorgan
 20201215 IQ Bloomberg
 20201216 IQ Morgan Stanley
 20210217 IQ Bloomberg
 20210218 IQ CLSA
 20210329 RKT Bloomberg
 20210122 TCBI Truist Securities
 20210122 TCBI BofA Securities
 20210326 TCBI Bloomberg

⁵ These analyst reports, press releases, news articles and SEC filings can be found at SDNY_P016_0000000002-0000010790.

20210329 TCBI BofA Securities
20210329 TCBI News
20210329 TCBI Bloomberg
20210407 TCBI News
20210412 TCBI Bloomberg
20201111 TME Jefferies
20210322 TME Bloomberg
20210323 TME Oppenheimer
20210324 TME Goldman
20201106 VIAC Barclays
20210119 VIAC Barclays
20210127 VIAC Credit Suisse
20210204 VIAC Deutsche Bank
20210223 VIAC Barclays
20210224 VIAC Cowen
20210225 VIAC Macquarie Research
20210308 Wells Fargo Report
20210322 0417pm ViacomCBS Announces Offerings
20210324 0700am ViacomCBS Prices Offerings
20210326 Wells Fargo Report
20210329 CFRA Report
20201116 VIPS HSBC Global Research
20210208 VIPS JPMorgan Report
20210225 VIPS UBS Report
20210226 VIPS JPMorgan Report
20210325 China Tech-Stock Selloff Unwarranted
20210326 China ADRs Rebound After Bellwethers Said to Be in block Trades
20210327 BlockTrade Bevy Wipes \$35 Billion
20210327 Unprecedented Wall Street Ponders Goldman Block-Trade Spree
20210329 Archegos Linked Stocks Goldman Weighed Down by Big Block Trades
20210329 Archegos Linked Stocks Sink on Block-Trad Fallout Fears
20210329 Covid Scare BlockTrade Fallout
20210329 Latest Block Trades Tied to Archegos Run to \$2.64 Billion Value
20210329 ViacomCBS Discovery Chinese ADRs
20201120 FUTU UBS
20210121 FUTU Bloomberg
20210129 FUTU News
20210202 Bloomberg
20210218 FUTU Morgan Stanley
20201110 RKT RBC
20201111 RKT Morgan Stanley
20201230 RKT Credit Suisse
20210125 RKT Jefferies
20210225 RKT RBC

20210303 RKT Bloomberg
20210303 RKT Bloomberg
20210324 VIAC Credit Suisse
20210324 VIAC BofA
20210326 VIAC Wells Fargo
20210326 VIAC Morningstar

SEC Filings

Baidu 20181231 20-F
Baidu 20191231 20-F
Baidu 20201116 3Q Results 6-K
Baidu 20201116 Acquisition JOYY 6-K
Baidu 20201231 20-F
Baidu 20210217 4Q FY Results 6-K
Baidu 20210309 Form F3 Prospectus
Baidu 20210317 Pricing of offering 6-K
Baidu 20211231 20-F
Baidu 20221231 20-F
Baidu 20231002 144
Discovery 20191231 10-K
Discovery 20201105 8-K
Discovery 20201106 10-Q
Discovery 20201222 424b7
Discovery 20201231 10-K
Discovery 20210222 8-K
Discovery 20211231 10-K
FTCH 20191231 20-F
FTCH 20201105 Alibaba Richemont JV 6-K
FTCH 20201112 3Q 6-K
FTCH 20201231 20-F
FTCH 20210225 4Q and FY 6-K
FTCH 20211231 20-F
FUTU 20191231 20-F
FUTU 20201119 3Q2020 6K
FUTU 20201231 20-F
FUTU 20210316 4Q FY2020 6K
FUTU 20211231 20-F
GOTU 20191231 20-F
GOTU 20201120 3Q 6K
GOTU 20201231 20-F
GOTU 20210305 4Q FY 6K
GOTU 20211231 20-F
iQIYI 20181231 20-F
iQIYI 20191231 20-F

iQIYI 20201116 3Q Results 6-K
iQIYI 20201215 Shelf Registration F-3
iQIYI 20201231 20-F
iQIYI 20210217 Q4 FY Results 6-K
iQIYI 20211231 20-F
RKT 20200930 10-Q
RKT 20201110 3Q2020 8-K
RKT 20201231 10-K
RKT 20210225 4Q FY2020 Results 8-K
RKT 20211231 10-K
TCBI 20191231 10-K
TCBI 20200930 10-Q
TCBI 20201021 3Q2020 Results Presentation 8-K
TCBI 20201021 3Q2020 Results Press Release 8-K
TCBI 20201231 10-K
TCBI 20210121 Q4 and FY Results 8-K
TCBI 20211231 10-K
Tencent 20181231 20-F
Tencent 20191231 20-F
Tencent 20201110 Press Release 3q2020 Results 6-K
Tencent 20201231 20-F
Tencent 20210115 Press Release Acquisition 6-K
Tencent 20210322 Press Release Q4 and FY2020 6-K
Tencent 20211231 20-F
ViacomCBS 20191231 10-K
ViacomCBS 20201106 3Q2020 8K
ViacomCBS 20201231 10-K
ViacomCBS 20210224 Q4 and FY2020 8-K
ViacomCBS 20211231 10-K
ViacomCBS 3Q2020 20201106 10-Q
VIPS 20201103 Q32020 Results 6K
VIPS 20210225 Q4 FY2020 Results 6-K
VIPS 20210330 Share Repurchase 6-K
Vipshop 20181231 20-F
Vipshop 20191231 20-F
Vipshop 20201231 20-F
Vipshop 20211231 20-F
Viacom 424B5 Preliminary Prospectus Supplement Class B Common Stock 20210322
Viacom 424B5 Preliminary Prospectus Supplement Conv Pref Stock 20210322
Viacom 424B5 Prospectus Sup Class B Common Stock 20200325
Viacom 424B5 Prospectus Sup Conf Pref Stock 20200325
Viacom 8-A Registration
Viacom S-3ASR 20200327

Additional Data Sources

Archegos Order and Execution Records

SDNY_P002_0000023044
SDNY_P002_0000023045
SDNY_P001_0006396405
SDNY_P001_0006396410
SDNY_P003_0000000507
SDNY_P002_0000065205
SDNY_P001_0006143531- SDNY_P001_0006242580
SDNY_P001_0000094501- SDNY_P001_0000094548

NYSE Daily TAQ Data

SDNY_P016_0000000001

Archegos Trading IB Records

SDNY_SWR_0000255918- SDNY_SWR_0000316566

Weekly Ownership Test Reports

SDNY_P006_0000000060- SDNY_P006_0000010963
SDNY_P004_0000050679- SDNY_P004_0000050680
SDNY_P001_0006233090- SDNY_P001_0006233148

Capacity Notes

SDNY_SWR_0000635327 - SDNY_SWR_0001209001
SDNY_P001_0006401406 - SDNY_P001_0006401459
SDNY_WT_0000004505 - SDNY_WT_0000004974
SDNY_P004_0000062662
SDNY_P006_0000028923 -SDNY_P006_0000029073
SDNY_P001_0000066012-SDNY_P001_00002443357

Other

SDNY_P001_0006141102